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I hereby Certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service Under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Name: Herbert M. Shapiro

Signature Herbert M. Shapiro

Case No.: IOS-118A

Hon. Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Transmitted for filing is the Patent Application of

Inventor(s) E. A. Mendoza Et Al.

Title Thin Film Sol-Gel Derived Glass

Assignee Intelligent Optical Systems, Inc. Torrance CA 90505

Priority(s) :

CLAIMS AS FILED AND AMENDED

<u>FOR</u>	<u>NO. FILED</u>	<u>NO EXTRA</u>	<u>RATE</u>	<u>FEE</u>
Total Claims	15	-	-	-
Indep. Claims	3	-	-	-
Mult. Dep. Claims	0	-	-	-
			BASIC FEE	\$345.00
			TOTAL FILING FEE	\$345.00

Enclosed are:

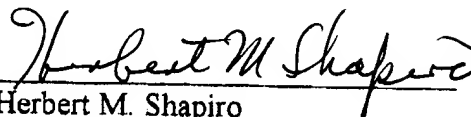
- ☐ sheet(s) of formal drawings
- ☒ 2 sheet(s) of informal drawings
- ☒ 8 pages of specification with 15 claims and abstract
- ☒ in the English language
- ☐ in a non-English language
- ☒ Declaration and Power of Attorney
- ☒ An Assignment
- ☐ A certified copy of priority application(s)
- ☐ A preliminary Amendment reducing the number of claims for filing purposes

- ☒ A check to cover the filing fee
- ☒ A \$40.00 check for the assignment recording fee
- ☐ A \$ check for filing in a non-English language
- ☒ Declaration claiming Small Entity Status
- ☐ The right of priority under 35 USC 119 is claimed on the basis of the
aforementioned foreign application(s)
- ☒ Applicant/Assignee claims Small Entity Status

Please send all correspondence to:

Herbert M. Shapiro
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Laguna Niguel, CA 92677

Respectfully submitted,


Herbert M. Shapiro
Reg. No. 20578

Enclosures: ☒

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f)
&1.27(c))—SMALL BUSINESS CONCERN

Applicant or Patentee: **Edgar A. Mendoza**

Docket No. **IOS-118A**

Serial or Patent No.:

Filed or Issued: **Concurrently**

Title: **Thin Film Sol-gel Derived Glass**

I hereby declare that I am

- ☐ The owner of the small business concern identified below:
☒ An official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN: **Intelligent Optical Systems, INC.**

ADDRESS OF SMALL BUSINESS CONCERN: **2520 W. 237th Street, Torrance
CA 90505-5217**

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party of parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above
☐ the patent identified above

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
☐ each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

